

10/09/01 1059 U.S. PTO
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
REQUEST FOR FILING APPLICATION UNDER 37 C.F.R. 1.53(b)
WITHOUT FILING FEE AND/OR WITHOUT EXECUTED INVENTOR'S DECLARATION

Assistant Commissioner for Patents
Washington, DC 20231
Sir:

Atty. Dkt. 2425-14

Date: October 9, 2001

1059 U.S. PTO
09/972193
10/09/01

This is a request for filing a new PATENT APPLICATION under Rule 53(b) entitled:

APPARATUS AND METHODS FOR HANDLING TRADING DATA

without a filing fee and/or without an executed inventor's oath/declaration.

This application is made by the below identified inventor(s). Attached hereto are the following papers:

- ☐ Newly executed Declaration, ☐ Copy of Declaration from prior application, ☒ Abstract
60 pages of specification and claims (including 29 numbered claims), and
11 sheets of accompanying drawing/s.
☐ Record the attached assignment and return to the undersigned.
☐ Attached is a Power of Attorney.
☐ Priority is hereby claimed under 35 U.S.C. § 119 based on the following foreign applications:

Application Number
0024671.0

Country
United Kingdom

Day/Month/Year Filed
9 October 2000

, respectively, the entire content of which is hereby incorporated by reference in this application..

- ☐ Certified copy(ies) of foreign application(s) is/are attached.
☐ Certified copy(ies) filed on _____ in prior application no. _____ filed _____
☐ Please amend the specification by inserting the following paragraph before the first line: --This application claims the benefit of Provisional Application No. _____, filed _____, the entire content of which is hereby incorporated by reference in this application.--
☐ Please amend the specification by inserting the following paragraph before the first line: --This application is a ☐ continuation/☐ division/☐ continuation-in-part of Application No. _____, filed _____, the entire content of which is hereby incorporated by reference in this application.--
☐ Petition filed in prior application to extend its life to insure co-pendency.
☐ The prior application is assigned to _____.
☐ It is hereby requested that the Examiner consider the art cited in the above parent application(s) by applicant and/or the Examiner for the reasons stated therein. A listing of that art is attached, but pursuant to Rule 98(d) copies are not required.
☐ Applicant claims "small entity" status. ☐ "Small entity" statement attached.
☐ Please enter the attached and/or below preliminary amendment **prior** to calculation of filing fee:
☐ Also attached: ☐ Information Disclosure Statement; ☐ Non-Publication Request; ☐ Nucleotide and/or Amino Acid Sequence Submission; ☐ Statement deleting Inventor(s) named in prior application; ☐ Other:

1. Inventor: Brian T. DAWSON British
(first) MI (last) (citizenship)
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☐ See attached sheet(s) for additional inventor(s) information!!

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By Atty: Larry S. Nixon, Reg. No. 25,640

Signature:

Larry S. Nixon